

EXHIBIT A

Mark

From: Osborne, Sonja <OsborneS@SEC.GOV>
Sent: Thursday, February 7, 2019 8:08 AM
To: mnord18@gmail.com
Subject: Freedom of Information Act (FOIA) Request No. 19-01041-FOIA
Attachments: 19-01041-FOIA Request Description.pdf; 19-01041-FOIA Request Description.pdf

Mr. Nordlict,

Our office has received your request dated January 30, 2019 seeking all communication-emails, texts and phone records between Former Director of Enforcement Andrew Ceresny and any member of the media from January 1, 22014 thru December 31, 2016.

Please provide a list of specific media outlets to help refine the scope of your request.

If you would like to further discuss this matter, you may contact me directly at (202) 551-8371.

Regards,

Sonja Osborne
FOIA Lead Research Specialist
Office of FOIA Services
U.S. Securities and Exchange Commission
100 F Street N.E.
Washington, DC 20549
Phone | 202.551.8371
osbornewsec.gov

EXHIBIT B

Mark

From: Mark N. <mnord18@gmail.com>
Sent: Thursday, February 7, 2019 2:12 PM
To: Osborne, Sonja
Subject: Re: Freedom of Information Act (FOIA) Request No. 19-01041-FOIA

Sonja- thanks very much for your quick response. The media outlets sought are the New York Times, Wall Street journal, Bloomberg, the New York Post and Reuters. Let me know if there is anything more for me to do on my end. Regards,
Mark

Sent from my iPad

On Feb 7, 2019, at 8:08 AM, Osborne, Sonja <OsborneS@sec.gov> wrote:

Mr. Nordlict,

Our office has received your request dated January 30, 2019 seeking all communication-emails, texts and phone records between Former Director of Enforcement Andrew Ceresny and any member of the media from January 1, 2014 thru December 31, 2016.

Please provide a list of specific media outlets to help refine the scope of your request.

If you would like to further discuss this matter, you may contact me directly at (202) 551-8371.

Regards,

Sonja Osborne
FOIA Lead Research Specialist
Office of FOIA Services
U.S. Securities and Exchange Commission
100 F Street N.E.
Washington, DC 20549
Phone | 202.551.8371
osbornes@sec.gov

<19-01041-FOIA Request Description.pdf>

EXHIBIT C



UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
STATION PLACE
100 F STREET, NE
WASHINGTON, DC 20549-2465

Office of FOIA Services

April 2, 2019

Mr. Mark Nordlicht
245 Tenor Drive
New Rochelle, NY 10804

RE: Freedom of Information Act (FOIA), 5 U.S.C. § 552
Request No. 19-01041-FOIA

Dear Mr. Nordlicht:

This letter is in reference to your request dated January 30, 2019, and received in this office on January 31, 2019, for all communication-emails, texts and phone records from January 1, 2014 to December 31, 2016, between former Director of Enforcement Andrew Ceresney and any member of the media.¹

We will be unable to respond to your request within the Freedom of Information Act's twenty day statutory time period, as there are unusual circumstances which impact on our ability to quickly process your request. Therefore, we are invoking the 10 day extension. These unusual circumstances are: (a) the potential volume of records responsive to your request, and (b) the need for consultation with one or more other offices having a substantial interest in either the determination or the subject matter of the records. For these reasons, we will process your case consistent with the order in which we received your request.

We have identified approximately 6,180 pages of emails that may be responsive to your request. We typically estimate that it will take a staff member one (1) hour to review approximately 50 pages of emails records. Therefore, our preliminary estimate at this point to review the approximately 6,180 pages of email for release under the FOIA is approximately 124 hours.

¹ In an email dated February 7, 2019, you indicated that the media outlets covered by your request are the New York Times, The Wall Street Journal, Bloomberg, the New York Post, and Reuters.

Mr. Mark Nordlicht
April 2, 2019
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Since the records are voluminous, if requested, we would process them in our Complex track. Under 5 U.S.C. § 552(b) (6) (D) (i) agencies may provide for multi-track processing of requests for records based on the amount of work or time (or both) involved in processing requests. The SEC's regulation implementing multi-track processing is located at 17 CFR § 200.80(d)(4).

At present we anticipate that it may take thirty-six months or more before we can begin to process a request placed in our Complex track.

If you are interested in having us place your request in our Complex Track, please write or call me by April 16, 2019, and identify the records of interest to you.

If you have any questions, or if you would like to discuss ways in which you can narrow the scope of your request to possibly avoid placement in our Complex track, please contact me at osbornes@sec.gov or (202) 551-8371. You may also contact me at foiapa@sec.gov or (202) 551-7900. You may also contact the SEC's FOIA Public Service Center at foiapa@sec.gov or (202) 551-7900. For more information about the FOIA Public Service Center and other options available to you please see the attached addendum.

Sincerely,

Sonja Osborne
Sonja Osborne
FOIA Lead Research Specialist

ADDENDUM

For further assistance you can contact a SEC FOIA Public Liaison by calling (202) 551-7900 or visiting <https://www.sec.gov/oso/help/foia-contact.html>.

SEC FOIA Public Liaisons are supervisory staff within the Office of FOIA Services. They can assist FOIA requesters with general questions or concerns about the SEC's FOIA process or about the processing of their specific request.

In addition, you may also contact the Office of Government Information Services (OGIS) at the National Archives and Records Administration to inquire about the FOIA dispute resolution services it offers. OGIS can be reached at 1-877-684-6448 or via e-mail at ogis@nara.gov. Information concerning services offered by OGIS can be found at their website at Archives.gov. Note that contacting the FOIA Public Liaison or OGIS does not stop the 90-day appeal clock and is not a substitute for filing an administrative appeal.

EXHIBIT D

Mark

From: Mark <mnord18@gmail.com>
Sent: Wednesday, April 3, 2019 12:29 AM
To: osbornes@sec.gov
Subject: RE: FOIA Response 19-01041-FOIA - 19-01041-FOIA

Sonja- Thank you for your response. I would like to narrow the request to avoid being placed in the complex track. If we changed the timeframe to March 15 2016-August 15,2016, would that do the trick? If so, when do you think the search will be completed? I can also eliminate Reuters from the request. My request would thus be "all communication-emails, texts and phone records from March 15, 2016 through August 15, 2016 between former Director of Enforcement

Andrew Ceresney and any member of the New York Post, Wall Street Journal, Bloomberg or the New York Times." This should cut down between 75% and 85% of the potentially responsive records. Please advise on path forward. Regards, Mark

From: osbornes@sec.gov [mailto:osbornes@sec.gov]
Sent: Tuesday, April 2, 2019 2:50 PM
To: mnord18@gmail.com
Subject: FOIA Response 19-01041-FOIA - 19-01041-FOIA

Good afternoon, Mr. Nordlicht. Please see the attached response to a FOIA request you submitted to the SEC.

Sincerely,

EXHIBIT E

Mark

From: Osborne, Sonja <OsborneS@SEC.GOV>
Sent: Wednesday, May 8, 2019 12:46 PM
To: Mark N.
Subject: RE: FOIA Response 19-01041-FOIA - 19-01041-FOIA

Mr. Nordlicht,

I am in the process of reviewing records for your request. I hope to have a response to you by early next week.

Sonja Osborne
FOIA Lead Research Specialist
Office of FOIA Services
U.S. Securities and Exchange Commission
100 F Street N.E.
Washington, DC 20549
Phone | 202.551.8371
osbornes@sec.gov

From: Mark N. [mailto:mnord18@gmail.com]
Sent: Monday, May 06, 2019 12:52 PM
To: Osborne, Sonja
Subject: Re: FOIA Response 19-01041-FOIA - 19-01041-FOIA

SONja- Any final position on this? Thx in advance. RegArds, Mark

Sent from my iPad

On Apr 11, 2019, at 5:46 PM, Osborne, Sonja <OsborneS@sec.gov> wrote:

Mr. Nordlicht,

I am consulting with other staff. I hope to have a response to you soon.

Regards,

Sonja Osborne
FOIA Lead Research Specialist
Office of FOIA Services
U.S. Securities and Exchange Commission
100 F Street N.E.
Washington, DC 20549
Phone | 202.551.8371
osbornes@sec.gov

From: Mark [mailto:mnord18@gmail.com]
Sent: Monday, April 08, 2019 11:08 PM
To: Osborne, Sonja
Subject: RE: FOIA Response 19-01041-FOIA - 19-01041-FOIA

EXHIBIT F

Mark

From: Osborne, Sonja <OsborneS@SEC.GOV>
Sent: Tuesday, June 18, 2019 2:53 PM
To: Mark
Subject: RE: Automatic reply: FOIA Response 19-01041-FOIA - 19-01041-FOIA

Mr. Nord,

We are consulting with other staff regarding responsive records to your request. Although we cannot estimate the completion date at this time, we hope to be able to complete your request soon.

We appreciate your patience.

Regards,

*Sonja Osborne
FOIA Lead Research Specialist
Office of FOIA Services
US Securities and Exchange Commission
100 F Street, NE
Washington, DC 20549-2736
202-551-8371*

From: Mark [<mailto:mnord18@gmail.com>]
Sent: Friday, June 14, 2019 5:18 PM
To: Osborne, Sonja
Subject: RE: Automatic reply: FOIA Response 19-01041-FOIA - 19-01041-FOIA

Sonja- I hope your vacation was enjoyable. Can you please give me some guidance on this matter? Have a great weekend. Regards, Mark

From: Osborne, Sonja [<mailto:OsborneS@SEC.GOV>]
Sent: Friday, May 31, 2019 11:07 AM
To: Mark N.
Subject: Automatic reply: FOIA Response 19-01041-FOIA - 19-01041-FOIA

Thank you for your message. I am out of the office and will return on Monday, June 3, 2019. If you need immediate assistance, please contact Izzette Katilius on (202) 551-7910, or you may also call 202-551-7900 and someone will assist you. Thank you.